

FORM PTO-1390  
(REV. 5-93)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTORNEY'S DOCKET NUMBER  
01381/8**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371**

U.S. APPLICATION NO. (If known, see 37 CFR 1.5)

**10/509923**INTERNATIONAL APPLICATION NO.  
PCT/JP03/04058INTERNATIONAL FILING  
DATE  
(31.03.03)  
31 March 2003PRIORITY DATE(S) CLAIMED  
(04.04.02)  
4 April 2002  
  
(04.04.02)  
4 April 2002  
  
(27.05.02)  
27 May 2002TITLE OF INVENTION  
SEED CRYSTAL CONSISTING OF SILICON CARBIDE SINGLE CRYSTAL AND METHOD FOR PRODUCING INGOT  
USING THE SAME

APPLICANT(S) FOR DO/EO/US

Noboru OHTANI; Masakazu KATSUNO; Tatsuo FUJIMOTO

Applicants herewith submit to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
  2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
  3. ☒ This express request to begin national examination procedures (35 U.S.C. 371(f)) immediately rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).
  4. ☐ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
  5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
    - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☒ has been transmitted by the International Bureau.
    - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US)
  6. ☒ A translation of the International Application into English (35 U.S.C. 371(c)(2)).
  7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
    - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
    - b. ☐ have been transmitted by the International Bureau.
    - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
    - d. ☒ have not been made and will not be made.
  8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
  9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
  10. ☐ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).
- Items 11. to 16. below concern other document(s) or information included:
11. ☐ An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
  12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
  13. ☒ A **FIRST** preliminary amendment.  
☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
  14. ☐ A substitute specification and marked-up specification.
  15. ☐ A change of power of attorney and/or address letter.
  16. ☒ Other items or information: PCT/RO/101, first page of published WO 03/085175 A1, International Search Report

17. ☒ The following fees are submitted:**Basic National Fee (37 CFR 1.492(a)(1)-(5)):**

Search Report has been prepared by the EPO or JPO ..... \$950.00  
International preliminary examination fee paid to USPTO (37 CFR 1.482) ... \$750.00  
No international preliminary examination fee paid to USPTO (37 CFR 1.482) but  
international search fee paid to USPTO (37 CFR 1.445(a)(2)) ..... \$790.00  
Neither international preliminary examination fee (37 CFR 1.482) nor international  
search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... \$1,110.00  
International preliminary examination fee paid to USPTO (37 CFR 1.482) and all  
claims satisfied provisions of PCT Article 33(2)-(4) ..... \$100.00

CALCULATIONS | PTO USE ONLY

**ENTER APPROPRIATE BASIC FEE AMOUNT =**

\$ 950.00

Surcharge of \$130.00 for furnishing the oath or declaration later than ☐ 20 ☐ 30 months  
from the earliest claimed priority date (37 CFR 1.492(e)).

\$

Claims

Number Filed

Number Extra

Rate

Total Claims\*\*

36 - 20 =

16

X \$18.00

\$288.00

Independent Claims

4 - 3 =

1

X \$88.00

\$88.00

Multiple dependent claim(s) (if applicable) \*\*

+ \$300.00

\$ 0.00

**TOTAL OF ABOVE CALCULATIONS =**

\$1326.00

Reduction by 1/2 for filing by small entity, if applicable. Verified Small Entity statement must  
also be filed. (Note 37 CFR 1.9, 1.27, 1.28).

\$

**\*\*Upon entry of Preliminary Amendment****SUBTOTAL =**

\$1326.00

Processing fee of \$130.00 for furnishing the English translation later the ☐ 20 ☐ 30  
months from the earliest claimed priority date (37 CFR 1.492(f)).

+

\$

**TOTAL NATIONAL FEE =**

\$1326.00

Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be  
accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property

+

\$ 0.00

**TOTAL FEES ENCLOSED =**

\$1326.00

Amount to be:  
refunded

\$

charged

\$

a. ☐ A check in the amount of \$\_\_\_\_\_ to cover the above fees is enclosed.

b. ☒ Please charge my Deposit Account No. 11-0600\_\_\_\_\_ in the amount of \$1326.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to  
Deposit Account No. 11-0600. A duplicate copy of this sheet is enclosed.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a)  
or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

SIGNATURE

Kenyon & Kenyon  
1 Broadway  
New York, NY 10004

John J. Kelly, Jr., Reg. No. 29,182  
NAME

CUSTOMER NO. 26646

DATE

OCTOBER 1, 2004